APPENDIX A

COPIES OF SURVEY FORMS

Most of the twenty-one states participating in the Historical Records Repositories Survey used some or all of the following forms to conduct the survey in their states. Michigan, Montana, and Georgia used modified versions of the Long Form. Michigan simply added a few questions. Georgia and Montana omitted several questions altogether as well as eliminating several options under other questions. Tables A.2 provide counts of the total number of possible responses for questions that appeared only on the Long Form. Further details are provided in Appendix B which describes the survey procedures.

# Survey of Historical Records Repositories in [State]

The State Historical Records Advisory Board is attempting to locate repositories of historical records in our state. This brief form is the first step in a broader survey that will gather information on the issues and problems facing these organizations in their efforts to keep [state] s documentary heritage available for future generations.

We are interested in learning more about your organization if

♦ your collections are open for research, and

♦ they contain <u>original</u> historical materials in any of the following forms
(at this time, we are not interested in reproductions of original documents
held by other repositories that your organization might have purchased
for reference purposes):

manuscripts (letters, diaries)	photographs
ledger or account books	maps, blueprints
scrapbooks	video or audio tapes
microfilm or microfiche	motion picture film
computer records	
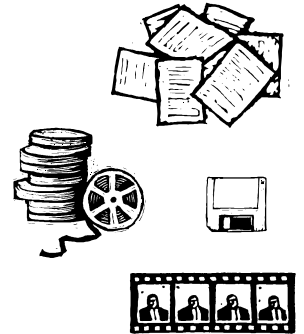
Do you have collections that fit these criteria?

!   Yes. Our organization has collections of historical records that fit the criteria listed above.

!   Maybe. I m not sure if our collections fit.
Please have someone call the individual listed below to discuss the criteria further.

!   No, our organization does not have historical records as described above
(stop here and return the form).

If your collections do meet the above criteria, we would like to send you a longer questionnaire designed to compile more detailed information on the types of historical records you hold and the kinds of challenges you are facing in maintaining them.

Would you be willing to complete a longer questionnaire?   ! Yes   ! No

If yes, please direct the full survey to the following individual:

Name _____   Title _____

Unit _____   Telephone _____

Address (if different from label below): _____

_____

Please make any necessary corrections in the address label for your organization.

```
[attach mailing label here]
(Avery 5162 will fit)
```

Thank you!

Please return this form to the State Historical Records Advisory Board <u>no later than [date].</u>

The State Historical Records Advisory Board (SHRAB) is the statewide advisory board for historical records planning and preservation. The SHRAB also works with the National Historical Publications and Records Commission, a federal granting agency affiliated with the National Archives and Records Administration that supports historical records projects, to determine priorities for awarding its grants and approve specific awards for projects in [state].

In order to make our planning and program development more effective, the SHRAB is conducting a statewide survey to identify the issues and problems facing [state] s historical records repositories. We are sending this survey form to historical societies, academic archives and special collections, genealogical societies, public libraries, museums, religious groups, and other organizations that collect historical records and make them available for research.

The information you provide will help the Board identify ways historical records repositories can work together and shape the development of educational and financial opportunities to keep [state] s documentary heritage available for future generations.

FOLD HERE AND TAPE CLOSED AT TOP EDGE

‖‖ ‖‖

PLACE
32¢
STAMP
HERE

_____

_____

_____

STATE HISTORICAL RECORDS ADVISORY BOARD
[ADDRESS]

FOLD HERE AND TAPE CLOSED AT TOP EDGE

Thank you
rich historical heritage is preserved and remains accessible in the future.

Please fold, tape, and return your completed questionnaire to the State Historical Records Advisory Board no later than [date].

STATE HISTORICAL RECORDS ADVISORY BOARD

1996 SURVEY OF HISTORICAL RECORDS REPOSITORIES

PART A. NAME AND ADDRESS OF REPOSITORY

1. Name of organization or institution:

_____

2. Departmental title or other name of unit most directly responsible for historical records collection:

_____

Note: If the parent organization has two or more units, administered independently, that maintain collections of historical records, separate forms should be completed for each of them. If you need additional forms, please contact the survey manager (see last page). Additional forms can be sent to you or to the other unit(s), as appropriate.

E*xample:* A university might have both an institutional archives and a collection of historical manuscripts, one in the provost s office and the other in the university library. Each should report separately.

3. Person in charge of your organization s historical records program or collection:

Name _____

Position title _____

Phone _____ Fax _____

Electronic mail (if available) _____

PART B. INSTITUTIONAL INFORMATION

1. Which of the following best describes your organization (circle one)**:**

1   Historical society
2   College or university
3   Public library
4   Museum
5   Genealogical society
6   Other (please describe): _____

_____

2. How many years has this organization had a historical records program for the care of archival materials?

_____

PART C. COLLECTIONS

1. Does your organization have a written acquisition policy identifying the kinds of historical materials it accepts and the conditions or terms that affect these acquisitions? (circle one):

1   Yes (please attach a copy, if possible)

2   No

2. Please indicate what types of historical records your organization currently holds and what types you are actively collecting (circle all that apply)**:**

	Currently hold	Actively collecting
Paper records	1a	1b
Photographs	2a	2b
Architectural drawings, blueprints	3a	3b
Maps, plats	4a	4b
Sound recordings	5a	5b
Video tapes	6a	6b
Motion picture film	7a	7b
Microfilm/microfiche	8a	8b
Computer media (tapes, diskettes, CD-ROMs)	9a	9b
Optical disks	10a	10b
Other (specify):		
_____	11a	11b

3. What dates are encompassed by your historical records (give earliest and latest dates for bulk of collection)**:**

_____

PART C. COLLECTIONS, cont.

4. **Please indicate which subject areas are especially strong in your collections and those in which you are focusing your acquisition efforts** (circle all that apply):

	Current strength	Actively collecting
African Americans	1a	1b
Agriculture	2a	2b
Arts and architecture	3a	3b
Business/industry/manufacturing	4a	4b
Civil War	5a	5b
Education	6a	6b
Environmental affairs/natural resources	7a	7b
Genealogy	8a	8b
Labor	9a	9b
Local history	10a	10b
Medicine and health care	11a	11b
Military	12a	12b
Native Americans	13a	13b
Politics, government, law	14a	14b
Religion	15a	15b
Revolutionary War	16a	16b
Science and technology	17a	17b
Social service/charitable organizations	18a	18b
Transportation and communication	19a	19b
Women	20a	20b
Other (specify): _____	21a	21b

_____

5. **Please provide a <u>brief </u>description of the contents and scope of your historical records** (attach separate sheet if needed)**:**

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

PART D. SIZE OF COLLECTIONS

We know it may be difficult to   measure   your collections exactly; give your best estimate in answering the questions below. If your collection is unorganized, estimate roughly how much space the historical records would occupy if they were in boxes or on shelves.

<u>Do not count an item or group of materials more than once</u>. For instance, if you know the number of photographs <u>and</u> the linear feet they occupy, give one or the other, not both.

Remember, for this survey we are seeking information about <u>original</u> historical materials only, not printed materials or reproductions of original documents held by other repositories that your organization might have purchased for reference purposes. <u>Please do not include</u> newspapers or county histories (printed) or items like census microfilm purchased from the National Archives (reproductions).

Use the following approximations, if necessary, to estimate total number of linear feet:

1 Hollinger box/document case (approx. 12 x5 x10)	=	0.5 lin. ft.
1 Record center carton (approx. 15 x12 x10)	=	1 lin. ft.
1 Transfer carton (approx. 24 x12 x10)	=	2 lin. ft.
1 Filing cabinet drawer	=	2 lin. ft.

1. **Paper records** (including unpublished, handwritten or typescript materials such as loose correspondence, letter books, office files, scrapbooks, ledgers, and other similar materials).

   _____ lin. ft.

2. **Other materials** (estimate total number of items <u>or</u> number of linear feet for each of the following):

Photographs	_____ photos	<u>or</u>	_____	lin. ft.
Microfilm	_____ reels	<u>or</u>	_____	lin. ft.
Oversize paper (maps, blueprints)	_____ items	<u>or</u>	_____	lin. ft.
Motion picture film	_____ reels	<u>or</u>	_____	lin. ft.
Videotapes	_____ items	<u>or</u>	_____	lin. ft.
Audiotapes	_____ items	<u>or</u>	_____	lin. ft.
Computer media (disks, CDs)	_____ items	<u>or</u>	_____	lin. ft.

PART E. ACCESS TO COLLECTIONS

1. **Through which of the following are users able to locate descriptions of your historical records?** (circle all that apply**)**

   1 Card catalog

   2 Typewritten registers/inventories

   3 Printed guide to whole collection

   4 Computer catalog accessible in-house

   5 Computer catalog accessible remotely
   (via dial-up modem connection, Telnet, Internet, etc.)

   6 World Wide Web site (please provide URL):

   _____

   7 Research Libraries Information Network (RLIN)

   8 OCLC

   9 Other regional/national automated catalog (specify):

   _____

   10 Other (specify): _____

PART E. ACCESS TO COLLECTIONS, cont.

2. Are any of the following significant impediments to the use of your historical records? (circle all that apply):

1 Can t physically locate them

2 Lack of indexes or other finding aids

3 Necessary equipment not available
(microfilm readers, tape players)

4 Records are deteriorated beyond use

5 Processing backlog

6 Other (specify): _____

3. What portion of your historical records are described in one or more of the finding aids listed in E.1., above? (circle one)

1 Less than 25%

2 25-50%

3 50-75%

4 75-100%

PART F. USERS

1. Estimate the average number of research requests received each year in the following categories:

1 Regular mail _____ letters

2 Electronic mail _____ requests

3 In person _____ daily visits

4 By telephone _____ calls

5 No research requests received

2. Please indicate for which of the following purposes your collections are used (circle all that apply) **and estimate the percentage of total usage represented by each category.**

	Type of use	Percent of total use
Genealogy	1	_____%
Local history	2	_____%
Scholarly research/publication	3	_____%
Undergraduate class work	4	_____%
High school/elementary school projects	5	_____%
Property/legal research	6	_____%
Publicity campaigns, public relations (for parent institution, local community)	7	_____%
Administrative use by parent institution	8	_____%
Other (specify):_____	9	_____%

PART G. FACILITIES & EQUIPMENT

1. Where are your historical records stored? (circle all that apply):

1 Office area(s)

2 Stack area(s)

3 Storage room(s)

4 Attic/closet/basement

5 Warehouse

6 Other (specify): _____

2. What portion of the total storage area(s) are equipped with the following? (circle closest estimate for each)

Year-round temperature controls	All	75%	50%	25%	None
Year-round humidity controls	All	75%	50%	25%	None
Fire detection (smoke/heat alarms)	All	75%	50%	25%	None
Fire suppression (sprinklers, Halon)	All	75%	50%	25%	None
Security systems (motion detectors, locks, surveillance cameras, alarms)	All	75%	50%	25%	None

3. What equipment does your organization have available for use in managing or making your historical records available? (circle all that apply):

1 Photocopier(s)

2 Microfilm reader(s) or reader-printer(s)

3 Microfilm camera(s)

4 Copying equipment for photographs

5 Tape/video players

6 Specialized conservation equipment

7 Computers

8 Other (specify) _____

PART H. PRESERVATION & CONSERVATION

1. Does your organization have a written disaster recovery plan? **(**circle one):

1 Yes   2 No

2. Has your organization experienced loss of historical records due to any of the following during the last 3 years? (circle all that apply)

1 Water (floods, leaks)   4 Misfiles

2 Fire   5 Other (specify):

3 Theft   _____

3. During the past year, have you undertaken any of the following preservation/conservation measures, either in-house or through an outside contractor? (circle all that apply):

1 Microfilming or other imaging (optical disk transfer)

2 Rebinding/book repair

3 Document conservation/repair

4 Disaster recovery

5 Upgraded environmental controls

6 Other (specify): _____

4. If you are especially concerned about the physical condition of any portion of your collections, please explain briefly:

_____

_____

_____

_____

_____

PART I. STAFF AND VOLUNTEERS

1. **Please estimate how many paid staff members and volunteers work directly with your historical records collections.**

   Calculate your responses by estimating the numbers of full-time equivalents (FTEs) for each category. Use a typical week, or estimate an average, if workloads vary throughout the year.

   For instance, if your organization has two full-time and one half-time professionals who work with historical records, then your response would be 2.5 FTEs under Paid professionals. In reporting on volunteers, add up the total number of hours contributed by all volunteers during a typical week and divide by 40 hours. Example: if two volunteers devote a total of 10 hours per week, it would be reported as .25 FTEs.

   1 Paid professionals   _____ FTEs

   2 Paid nonprofessionals   _____ FTEs

   3 Unpaid volunteers   _____ FTEs

2. **Do any paid staff members have specialized training or education relating to the care of historical records?**
   (circle all that apply):

   1 Graduate degree(s) in archival administration

   2 Graduate degree(s) in library/information science

   3 Graduate degree(s) in history or related humanities discipline

   4 Institute(s) (1-2 weeks) in archival administration/methods

   5 Workshop(s) (1-2 days) in archival administration/methods

   6 Other (specify): _____

   7 No specialized training

   8 No paid staff members

3. **In what areas and at what levels do your staff/volunteers have the greatest need for additional training?**
   (circle all that apply):

	Basic	Intermediate	Advanced
Archival methods	1a	1b	1c
Uses of computers in archives	2a	2b	2c
Appraisal, collection development	3a	3b	3c
Electronic records	4a	4b	4c
Records management	5a	5b	5c
Preservation/conservation methods	6a	6b	6c
Disaster preparedness	7a	7b	7c
Public relations/outreach	8a	8b	8c
Other (specify): _____	9a	9b	9c

4. **What would be the best method(s) for providing additional training to your staff or volunteers?** (circle all that apply)

   1 Graduate course(s) in archival administration

   2 Institutes on archival methods/techniques (1-2 weeks)

   3 Workshop(s) on archival techniques (1-2 days)

   4 Internships

   5 On-the-job training

   6 Archival consultant services

   7 Publications, printed training manuals

   8 Other (specify): _____

   9 No additional training needed or desired

PART J. FINANCIAL SUPPORT

1. **Into which of the following categories does your organization s annual spending for historical records fall?** (include salaries, building maintenance, utilities, etc., devoted to the management, storage, and use of these collections)

   1 Less than $1,000

   2 $1,000 - $10,000

   3 $10,000 - $50,000

   4 $50,000 - $100,000

   5 $100,000 - 250,000

   6 $250,000 - 500,000

   7 $500,000-1,000,000

   8 More than $1,000,000

   9 Don t know

2. **During the last 3 years, has the funding for your historical records program** (circle one):

   1 Decreased   2 Remained stable   3 Increased

3. **Over the next 3 years, do you expect the funding for your historical records program to** (circle one):

   1 Decrease   2 Remain stable   3 Increase

4. **Please indicate the major sources of funding or income for your historical records program** (circle all that apply) **and, if possible, estimate percentage of the total provided by each:**

	Received from	Percent of total budget
Allocations/appropriations from parent organization s budget	1	_____%
Grants	2	_____%
Endowments, trusts	3	_____%
Fundraising	4	_____%
Other (specify): _____	5	_____%

   _____

5. **Please indicate which of the following are supported by the budget figure indicated in #1 above** (circle all that apply) **and, if possible, estimate the annual percentage allocated to each:**

	Supported by	Percent of total budget
Staff salaries and benefits	1	_____%
Collection development (purchases and acquisitions)	2	_____%
Collection maintenance (processing)	3	_____%
Preservation/conservation	4	_____%
Public programs and exhibits	5	_____%
Equipment purchases and maintenance/repair	6	_____%
Building/space costs (mortgage, rent, lease, maintenance, repair, utilities)	7	_____%
Other (specify): _____	8	_____%

   _____

PART K. NEEDS AND PRIORITIES

1. **Please rank each of the following priorities for improving the management of your historical records and making them available for use:** (Circle one for each: 3=major priority; 2=moderate; 1=minor; 0=not a priority)

	Major	➡		None
Increase funding	3	2	1	0
Increase capacity of storage space	3	2	1	0
Improve storage conditions (temperature & humidity controls, security)	3	2	1	0
Improve staff training or expertise	3	2	1	0
Encourage greater use of collections	3	2	1	0
Improve finding aids	3	2	1	0
Automate description systems	3	2	1	0
Reformat collections (microfilm, imaging)	3	2	1	0
Develop policies/procedures for handling new media	3	2	1	0
Develop acquisition policy/selection criteria	3	2	1	0
Increase solicitation of collections	3	2	1	0
Preservation/conservation of collections	3	2	1	0
Develop disaster plan	3	2	1	0
Process backlog of acquired collections	3	2	1	0
Introduce/improve records management in parent organization	3	2	1	0
Increase commitment of parent organization	3	2	1	0
Increase visibility of or public support for historical records program	3	2	1	0
Other:_____	3	2	1	0

2. **What is the most pressing problem confronting your organization s historical records collections?**

_____

_____

_____

_____

_____

3. **How useful would the following cooperative efforts be to your organization/institution in sharing expense and/or expertise among repositories of historical records in the state:** (Circle one for each: 3=very useful; 2=moderately useful; 1=of some use; 0=not useful)

	Very useful	➡		Not useful
Statewide/multirepository automated cataloging network	3	2	1	0
Statewide coordination of collecting policies	3	2	1	0
Cooperative purchasing of archival supplies	3	2	1	0
Centralized preservation/conservation lab	3	2	1	0
Centralized microfilming/imaging	3	2	1	0
Shared storage facilities	3	2	1	0
Other (please specify): _____	3	2	1	0

4. **Where do you go for advice and assistance on archival matters?** (circle all that apply):

1 Federal government agency (specify): _____

_____

2 State government agency (specify): _____

_____

3 Local government agency (specify): _____

_____

4 State Historical Records Advisory Board

5 Professional organizations (specify): _____

_____

6 Colleagues in other repositories

7 Vendors of supplies/equipment

8 Paid consultants

9 Other (specify): _____

_____

Please use the space provided on the back of this form for any further comments you might have.

Please tell us who completed this questionnaire in case we need to contact you:

Name: _____

Title _____

Institution: _____

Address: _____

Telephone: _____ E-mail: _____ Date completed: _____

Thank you for completing this questionnaire. Your participation in this survey will help ensure that our state s rich historical heritage is preserved and accessible for future generations.

If you have any questions about the survey or need help in completing the form, please contact the Historical Records Repository Survey Manager, [name], at [phone].

> **Please return the completed questionnaire <u>no later than [date]</u> to:**
>
> > [address]

> **Please include copies of the following, if available**
> > ♦ Brochures describing your organization and/or its collections
> > ♦ Acquisition policy

A self-addressed return envelope has been enclosed for your convenience.

PLEASE USE THE SPACE BELOW FOR ANY ADDITIONAL COMMENTS OR CONCERNS RELATED TO
THE MANAGEMENT, CARE, OR USE OF YOUR ORGANIZATION S HISTORICAL RECORDS

_____

_____

_____

_____

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_____

_____

_____

_____

_____

SHORT FORM

STATE HISTORICAL RECORDS ADVISORY BOARD

1996 SURVEY OF HISTORICAL RECORDS REPOSITORIES

PART A. NAME AND ADDRESS OF REPOSITORY

1. **Name of organization or institution:**

_____

2. **Departmental title or other name of unit most directly responsible for historical records collection:**

_____

Note: If the parent organization has two or more units, administered independently, that maintain collections of historical records, separate forms should be completed for each of them. If you need additional forms, please contact the survey manager (see last page). Additional forms can be sent to you or to the other unit(s), as appropriate.

E*xample:* A university might have both an institutional archives and a collection of historical manuscripts, one in the provost s office and the other in the university library. Each should report separately.

3. **Person in charge of your organization s historical records program or collection:**

Name _____

Position title _____

Phone _____ Fax _____

Electronic mail (if available) _____

PART B. INSTITUTIONAL INFORMATION

1. **Which of the following best describes your organization** (circle one)**:**

    1   Historical society
    2   College or university
    3   Public library
    4   Museum
    5   Genealogical society
    6   Other (please describe): _____

    _____

2. **How many years has this organization had a historical records program for the care of archival materials?**

    _____

PART C. COLLECTIONS

1. **Does your organization have a written acquisition policy identifying the kinds of historical materials it accepts and the conditions or terms that affect these acquisitions?** (circle one)**:**

    1   Yes (please attach a copy, if possible)

    2   No

2. **Please indicate what types of historical records your organization currently holds and what types you are actively collecting** (circle all that apply)**:**

	Currently hold	Actively collecting
Paper records	1a	1b
Photographs	2a	2b
Architectural drawings, blueprints	3a	3b
Maps, plats	4a	4b
Sound recordings	5a	5b
Video tapes	6a	6b
Motion picture film	7a	7b
Microfilm/microfiche	8a	8b
Computer media (tapes, diskettes, CD-ROMs)	9a	9b
Optical disks	10a	10b
Other (specify):		
_____	11a	11b

3. **What dates are encompassed by your historical records** (give earliest and latest dates for bulk of collection)**:**

    _____

PART C. COLLECTIONS, cont.

4. **Please indicate which subject areas are especially strong in your collections and those in which you are focusing your acquisition efforts** (circle all that apply):

	Current strength	Actively collecting
African Americans	1a	1b
Agriculture	2a	2b
Arts and architecture	3a	3b
Business/industry/manufacturing	4a	4b
Civil War	5a	5b
Education	6a	6b
Environmental affairs/natural resources	7a	7b
Genealogy	8a	8b
Labor	9a	9b
Local history	10a	10b
Medicine and health care	11a	11b
Military	12a	12b
Native Americans	13a	13b
Politics, government, law	14a	14b
Religion	15a	15b
Revolutionary War	16a	16b
Science and technology	17a	17b
Social service/charitable organizations	18a	18b
Transportation and communication	19a	19b
Women	20a	20b
Other (specify): _____	21a	21b

_____

5. **Please provide a brief description of the contents and scope of your historical records** (attach separate sheet if needed)**:**

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

PART D. SIZE OF COLLECTIONS

We know it may be difficult to measure your collections exactly; give your best estimate in answering the questions below. If your collection is unorganized, estimate roughly how much space the historical records would occupy if they were in boxes or on shelves.

Do not count an item or group of materials more than once. For instance, if you know the number of photographs and the linear feet they occupy, give one or the other, not both.

Remember, for this survey we are seeking information about original historical materials only, not printed materials or reproductions of original documents held by other repositories that your organization might have purchased for reference purposes. Please do not include newspapers or county histories (printed) or items like census microfilm purchased from the National Archives (reproductions).

Use the following approximations, if necessary, to estimate total number of linear feet:

1 Hollinger box/document case (approx. 12 x5 x10)	=	0.5 lin. ft.
1 Record center carton (approx. 15 x12 x10)	=	1 lin. ft.
1 Transfer carton (approx. 24 x12 x10)	=	2 lin. ft.
1 Filing cabinet drawer	=	2 lin. ft.

1. **Paper records** (including unpublished, handwritten or typescript materials such as loose correspondence, letter books, office files, scrapbooks, ledgers, and other similar materials).

_____ lin. ft.

2. **Other materials** (estimate total number of items or number of linear feet for each of the following):

Photographs	_____ photos	or	_____ lin. ft.
Microfilm	_____ reels	or	_____ lin. ft.
Oversize paper (maps, blueprints)	_____ items	or	_____ lin. ft.
Motion picture film	_____ reels	or	_____ lin. ft.
Videotapes	_____ items	or	_____ lin. ft.
Audiotapes	_____ items	or	_____ lin. ft.
Computer media (disks, CDs)	_____ items	or	_____ lin. ft.

PART E. ACCESS TO COLLECTIONS

1. **Through which of the following are users able to locate descriptions of your historical records?** (circle all that apply**)**

   1 Card catalog
   2 Typewritten registers/inventories
   3 Printed guide to whole collection
   4 Computer catalog accessible in-house
   5 Computer catalog accessible remotely (via dial-up modem connection, Telnet, Internet, etc.)
   6 World Wide Web site (please provide URL):

   _____

   7 Research Libraries Information Network (RLIN)
   8 OCLC
   9 Other regional/national automated catalog (specify):

   _____

   10 Other (specify): _____

PART E. ACCESS TO COLLECTIONS, cont.

2. **Are any of the following significant impediments to the use of your historical records?** (circle all that apply):

   1 Can t physically locate them
   2 Lack of indexes or other finding aids
   3 Necessary equipment not available
      (microfilm readers, tape players)
   4 Records are deteriorated beyond use
   5 Processing backlog
   6 Other (specify): _____

PART F. USERS

1. **Estimate the average number of research requests received <u>each year</u> in the following categories**:

   1 Regular mail   _____ letters
   2 Electronic mail   _____ requests
   3 In person   _____ daily visits
   4 By telephone   _____ calls
   5 No research requests received

2. **Please indicate for which of the following purposes your collections are used** (circle all that apply) **and estimate the percentage of total usage represented by each category.**

	Type of use	Percent of total use
Genealogy	1	_____%
Local history	2	_____%
Scholarly research/publication	3	_____%
Undergraduate class work	4	_____%
High school/elementary school projects	5	_____%
Property/legal research	6	_____%
Publicity campaigns, public relations (for parent institution, local community)	7	_____%
Other (specify):_____	9	_____%

PART G. FACILITIES & EQUIPMENT

1. **Where are your historical records stored?** (circle all that apply):

   1 Office area(s)
   2 Stack area(s)
   3 Storage room(s)
   4 Attic/closet/basement
   5 Warehouse
   6 Other (specify): _____

2. **What portion of the total storage area(s) are equipped with the following?** (circle closest estimate for each)

Year-round temperature controls	All	75%	50%	25%	None
Year-round humidity controls	All	75%	50%	25%	None
Fire detection (smoke/heat alarms)	All	75%	50%	25%	None
Fire suppression (sprinklers, Halon)	All	75%	50%	25%	None
Security systems (motion detectors, locks, surveillance cameras, alarms)	All	75%	50%	25%	None

PART H. PRESERVATION & CONSERVATION

1. **Does your organization have a written disaster recovery plan?** **(**circle one):

   1 Yes   2 No

2. **Has your organization experienced loss of historical records due to any of the following <u>during the last 3 years</u>?** (circle all that apply):

   1 Water (floods, leaks)   4 Misfiles
   2 Fire   5 Other (specify):
   3 Theft   _____

3. **During the past year, have you undertaken any of the following preservation/conservation measures, either in-house or through an outside contractor?** (circle all that apply):

   1 Microfilming or other imaging (optical disk transfer)
   2 Rebinding/book repair
   3 Document conservation/repair
   4 Disaster recovery
   5 Upgraded environmental controls
   6 Other (specify): _____

4. **If you are especially concerned about the physical condition of any portion of your collections, please explain briefly:**

   _____

   _____

PART I. STAFF AND VOLUNTEERS

1. **Please estimate how many paid staff members and volunteers work directly with your historical records collections.**

   Calculate your responses by estimating the numbers of full-time equivalents (FTEs) for each category. Use a typical week, or estimate an average, if workloads vary throughout the year.

   For instance, if your organization has two full-time and one half-time professionals who work with historical records, then your response

   volunteers, add up the total number of hours contributed by all volunteers during a typical week and divide by 40 hours. Example: if two volunteers devote a total of 10 hours per week, it would be reported as .25 FTEs.

   1 Paid professionals   _____ FTEs
   2 Paid nonprofessionals   _____ FTEs
   3 Unpaid volunteers   _____ FTEs

3. **In what areas and at what levels do your staff/volunteers have the greatest need for additional training?** (circle all that apply)**:**

	Basic	Intermediate	Advanced
Archival methods	1a	1b	1c
Uses of computers in archives	2a	2b	2c
Appraisal, collection development	3a	3b	3c
Preservation/conservation methods	6a	6b	6c
Disaster preparedness	7a	7b	7c
Other (specify): _____	9a	9b	9c

PART J. FINANCIAL SUPPORT

1. **Into which of the following categories does your organization s annual spending <u>for historical records</u> fall?** (include salaries, building maintenance, utilities, etc., devoted to the management, storage, and use of these collections)

1	Less than $1,000	4	$50,000 - $100,000
2	$1,000 - $10,000	5	More than $100,000
3	$10,000 - $50,000	9	Don t know

2. **During the <u>last</u> 3 years, has the funding for your historical records program** (circle one):

   1 Decreased   2 Remained stable   3 Increased

3. **Over the <u>next</u> 3 years, do you expect the funding for your historical records program to** (circle one):

   1 Decrease   2 Remain stable   3 Increase

PART K. NEEDS AND PRIORITIES

1. **Please rank each of the following priorities for improving the management of your historical records and making them available for use:** (Circle one for each: 3=major priority; 2=moderate; 1=minor; 0=not a priority)

	Major	➡		None
Increase funding	3	2	1	0
Increase capacity of storage space	3	2	1	0
Improve storage conditions (temperature and humidity controls, security)	3	2	1	0
Improve staff training or expertise	3	2	1	0
Encourage greater use of collections	3	2	1	0
Improve finding aids	3	2	1	0
Automate description systems	3	2	1	0
Reformat collections (microfilming, imaging)	3	2	1	0
Develop policies/procedures for new media	3	2	1	0
Develop acquisition policy/selection criteria	3	2	1	0
Increase solicitation of collections	3	2	1	0
Preservation/conservation of collections	3	2	1	0
Develop disaster plan	3	2	1	0
Process backlog of acquired collections	3	2	1	0
Increase visibility of or public support for historical records program	3	2	1	0
Other:_____	3	2	1	0

2. **What is the most pressing problem confronting your organization s historical records collections?**

   _____

   _____

   _____

   _____

   _____

   _____

3. **How useful would the following cooperative efforts be to your organization/institution in sharing expense and/or expertise among repositories of historical records in the state:** (Circle one for each: 3=very useful; 2=moderately useful; 1=of some use; 0=not useful)

	Very useful	➡		Not useful
Statewide/multirepository automated cataloging network	3	2	1	0
Statewide coordination of collecting policies	3	2	1	0
Cooperative purchasing of archival supplies	3	2	1	0
Centralized preservation/conservation lab	3	2	1	0
Centralized microfilming/imaging	3	2	1	0
Shared storage facilities	3	2	1	0
Other (please specify):				
_____	3	2	1	0

4. **Where do you go for advice and assistance concerning your historical records?** (circle all that apply):

   1 Federal government agency (specify): _____

   2 State government agency (specify): _____

   3 Local government agency (specify): _____

   4 State Historical Records Advisory Board

   5 Professional organizations (specify): _____

   6 Colleagues in other repositories

   7 Vendors of supplies/equipment

   8 Paid consultants

   9 Other (specify): _____

Thank you! **Please tell us who completed this questionnaire in case we need to contact you:**

Name: _____

Title _____   Institution: _____

Address: _____

Telephone: _____   E-mail: _____   Date completed: _____

If you have any questions about the survey or need help in completing the form, please contact the Historical Records Survey Manager, [name], at [phone number].

Please return this questionnaire <u>no later than [date]</u>, to the State Historical Records Advisory Board, [address].

INFORMATION FOR A STATEWIDE
DIRECTORY OF HISTORICAL RECORDS REPOSITORIES

As part of the Historical Records Repository Survey project, the SHRAB is planning to compile a directory of historical records repositories in our state. We hope it will facilitate communication and cooperation among repositories as well as make it easier for potential users to find the historical materials they need.

We would like to include your organization in this directory. If you would like to be listed, please complete this short form and return it along with the completed survey questionnaire in the enclosed self-addressed envelope.

1. MAILING ADDRESS

The mailing address and related information to be listed in the directory should be the one that potential researchers should use to contact your organization with research-related or other questions.

Please confirm that the name and address of your organization in the following mailing label is correct. Make any corrections in the spaces provided below.

[attach mailing label here]

Provide corrected information here:

Organization name: _____

_____

Mailing address: Street _____

_____

City _____ State_____ Zip _____

2. RESEARCH FACILITY ADDRESS (if different from mailing address)

If your organization s reading room or other research facility has an address different from the one used (above) for receiving mail, please provide the address to which researchers come in person to use your historical records:

Facility name: _____

Physical location: Street _____

City _____ State_____ Zip _____

3. TELEPHONE, FAX, ELECTRONIC MAIL

Please provide the telephone number and, if available, the fax number, electronic mail address, and/or World Wide Web URL that researchers should use to obtain more information about your collections of historical records.

Telephone_____ Fax _____

E-mail_____ WWW _____

4. DAYS AND HOURS OPEN FOR RESEARCH

Please indicate what days and hours, <u>during a typical week</u>, your research facilities are open.

Monday _____   Wednesday _____   Friday _____   Sunday _____

Tuesday _____   Thursday _____   Saturday _____

Describe any exceptions to the typical weekly schedule that occur during the year.
(*Examples:* closed on major holidays, closed weekends during winter, open evenings on the first Tuesday of the month).

_____

_____

Appointments/requests in advance to use materials are ñ Not needed   ñ Recommended   ñ Required

5. ORGANIZATIONAL STRUCTURE

Does your organization accept individual memberships, either in the organization itself or in a friends or other affiliated support group?

ñ Yes, individuals can become members of our organization   Total no. of members in 1996: _____

ñ Yes, individuals can join a friends or other support
   group affiliated with our organization   Total no. of friends in 1996: _____

ñ No, our organization does not have a membership component

6. PUBLICATIONS

Does your organization currently publish any periodicals ?

    Newsletter (give title):_____

    Journal (give title): _____

    Other (describe and give title): _____

7. SPECIAL PROGRAMS

Please provide a brief description of any special programs that your organization provides, especially those that relate directly to the historical records in your collections.
(*Examples:* lectures on local history, workshops on genealogical methods, oral history program, annual history fair).

_____

_____

_____

8. INDIVIDUAL COMPLETING FORM

In case we have questions, please provide the name and phone number of the individual who completed this form:

Name _____   Telephone number _____

Thank you for your help in compiling the Directory of Historical Records Repositories.

Please return this form, along with the 1996 Survey of Historical Records Repositories, <u>no later than [due date]</u>, to the [State Historical Records Advisory Board].

APPENDIX B

SURVEY AND DATA ANALYSIS PROCEDURES

Survey Process

Survey forms. The project was coordinated by Vicki Walch, consultant to the Council of State Historical Records Coordinators. Working with the participating states and an advisory committee,[1] she developed a uniform set of survey forms for all of the states to use. Montana and Georgia started their surveys earlier than the other states and used early versions of the final forms that contained slightly different versions of several questions. Montana also added a substantial number of questions to collect data about museum collections, specifically artifacts, that were not collected by the other states. Michigan also added a few questions to the final version of the form to collect information of interest to its cooperative efforts with the Michigan Archival Association.

Survey timetable and process. The states participating in the HRRS project began distributing the survey forms (both long and short versions) in September 1996. Some states had completed collecting their data as early as November 1996, while a few were still receiving forms as late as August 1997. The bulk of the data was received, however, by March 1997.

The project coordinator developed a database in Microsoft Access with the assistance of a professional Access developer. The database was distributed to each participating state in late winter 1997 so that they could begin data entry. Two states were unable to complete the data entry locally (Iowa and Georgia) and contracted separately with the project coordinator to have their initial data entry completed in Iowa City.

Most of the states had completed their data entry and returned their data to the project coordinator by June-July 1997. Some data was received as late as November 1997, however.

Proofreading. All of the numerical data was entered a second time by personnel in Iowa City. The Access developer provided a utility program to compare the initial data entry file with the second file as a way of proofreading the data and ensuring accuracy. All discrepancies between the two data entry processes were reviewed by the project coordinator and the originating states and the master file was corrected accordingly.

Response editing. The project directors in each state were responsible for reviewing the forms as they came in and editing the responses to ensure that they were entered correctly during the two-phase data entry process. The project coordinator provided Editorial Guidelines to each state to try to standardize this process as much as possible.[2] The states were also responsible for screening the responses for forms that were clearly out-of-scope and removing them before the data entry began. With a few exceptions, the Project Coordinator included all of the forms submitted to her in the final database. The bulk of the

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[1] The HRRS Advisory Committee was chaired by Jeffrey Johnson (Utah) and included David Olson (North Carolina), Kathleen Roe (New York), D. Gregory Sanford (Vermont), Barbara Teague (Kentucky), Kenneth Winn (Missouri), and Richard Cameron (NHPRC).

[2] The documentation accompanying the HRRS database includes these Editorial Guidelines.

responses removed from the final dataset at this stage were submitted by local governments and therefore were outside the intended   nongovernmental   focus of the survey.

The project coordinator did review the data for major anomalies that might indicate that the respondents misunderstood the question or otherwise entered data that was out of scope. For instance, a few repositories indicated that they held several million linear feet of motion picture film. The survey had intended them to report <u>linear feet</u> of shelf space occupied but they apparently interpreted it as <u>running feet</u> of film. Another historical society known to be of moderate size reported 500,000 linear feet of records which probably should have been 500,000 manuscript pages, or about 250 linear feet. Depending on the situation, including limited follow-up with the states and the repositories in question, these kinds of anomalies were either converted to the appropriate figures or eliminated from the analysis all together.

The project coordinator prepared a preliminary report for the COSHRC meeting that was held at the National Association of Government Archives and Records Administrators meeting in July 1997 in Sacramento. That report included a number of data tables and questions about how to proceed with consolidating types of repositories to facilitate further analysis. A second report to COSHRC occurred at the annual meeting in Roslyn, VA, in January 1998. A draft of the final report was distributed prior to that meeting allowing the group as a whole and in breakout sessions to discuss the findings and analysis further.

Following that meeting, an additional 26 survey forms were submitted and incorporated in the final dataset. The report was redrafted to adjust the additional data and additional sections added to reflect the discussions at the meeting.

Data Adjustments and Conversions.

Linear feet conversions. Respondents were allowed to report the size of their holdings using either linear feet or item counts (the instructions explicitly asked respondents to report holdings in <u>either</u> linear feet <u>or</u> items, not both, to eliminate duplication of reporting). In order to calculate the total linear feet of records held by each repository, the project coordinator developed formulas to convert item counts to linear feet for the seven types of media in question D2. If the respondents reported either linear feet only or both linear feet and item counts, we used the linear feet alone. If they reported only item counts, we used the following formulas to convert item counts to linear feet:

Photographs	100 items = 1 linear foot
Microfilm	10 reels = 1 linear foot
Oversize paper	50 items = 1 linear foot
Motion picture film	10,000 running feet = 1 linear foot 10 reels = 1 linear foot
Audio tapes	20 items = 1 linear foot
Video tapes	10 tapes = 1 linear foot
Computer records	20 diskettes = 1 linear foot (working on the assumption that there is some paper documentation accompanying the diskettes or tapes)

The database still contains the original data reported by each repository so that anyone wanting to calculate these conversions using different formulas can do so in the future.

Comparable Surveys Conducted Independently in Other States, 1993-96

The Historical Records Repositories Survey (HRRS) was designed to build on COSHRC s earlier surveys of state archives. It also benefited from the experience and findings of several other states that have completed their own independent survey projects of historic records repositories in the last few years. We modeled portions of the HRRS survey form after the instruments they used. When possible, we have incorporated relevant data and conclusions in the HRRS report from these surveys. The reports from these other states surveys are found in the documents listed below. Additional information can be obtained from the respective state coordinators[3].

Nevada. Surveys of records keepers covered members of the following groups: Nevada Association of Counties, Nevada League of Cities, Nevada Museum Association, Inter Tribal Council of Nevada. We have incorporated data from the Nevada Museum Association portion of their survey. The Nevada SHRAB also conducted a User Survey. Tabulations of the results were provided to the HRRS project by Peter Parker, Inlook Group, who served as the Nevada project consultant.

South Carolina. Report on the Survey of Repositories of Private Records in the State of South Carolina, compiled by Victoria Irons Walch for the Task Force on Nongovernment Repositories, South Carolina Historical Records Advisory Board. January 1994.

Tennessee. Summary of findings and statistical tabulations. 1992. Supplied to the HRRS project by John Thweatt.

Texas. Too Lightly Esteemed in the Past: Archival Enterprise, Records Management, and Preservation Administration in Texas, compiled by David B. Gracy II for the Texas Historical Records Advisory Board. December 1995. Copy of the report is available via the THRAB web site: http://www.tsl.state.tx.us/lobby/thrab/THRABplan.html.

Wisconsin. An Analysis of Survey Responses from Repositories, compiled by Victoria Irons Walch, Peter Gottlieb, and Helmut Knies for the Wisconsin Historical Records Advisory Board. 1995. This served as an appendix to the full strategic planning report. The text of the report is available on the WHRAB web site: http://www.wisc.edu/shs-archives/whrab/96report/index.html.

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[3] See inside covers of this report for contact information or go to the list of coordinators on the NHPRC web site at http://www.nara.gov/nara/nhprc/statcoor.html.